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NASA Procedural Requirements

COMPLIANCE IS MANDATORY

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(NASA Only)

Subject: Safety and Mission Assurance (SMA) Audits, Reviews, and Assessments

Responsible Office: Office of Safety and Mission Assurance

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Appendix A. Definitions

A.1 Audit. A formal review to assess compliance with SMA policies, procedures, processes, requirements, specifications, baselines, standards, instructions, codes, and contractual and licensing requirements, including Federal, State, and local safety and health statutes and regulations.

A.2 Audit and Assessment Point of Contact. A person of the organization being audited that ensures that the audited organization is prepared for the audit, coordinates the audit schedule with the audit and assessment team, ensures that the appropriate personnel from the audited organization are available during the audit and can support the audit schedule, ensures that the audit and assessment team has resources onsite to enable the completion of the audit (such as working space and information technology support).

A.3 Audit and Assessment Report. A document that provides a record of an audit, review, or assessment results.

A.4 Audit and Assessment Team. A team comprising subject matter experts from NASA Headquarters, NASA Centers, and, if necessary, non-NASA organizations selected to conduct the SMA audits and assessments.

A.5 Audit and Assessment Team Lead. The NASA civil servant responsible for the required audit preparation, audit, and post-audit actions for NSC-led or Center internal SMA audits, reviews, and assessments.

A.6 Center SMA Director. As used in this directive, this term includes all Center management personnel designated by the Center Director to implement SMA audits and

assessments requirements.

A.7 Audit Finding. A conclusion of importance based on facts and objective evidence established during SMA audits, reviews, and assessments.

A.8 Institutional/Facility/Operational Safety Audit. An independent audit/review of NASA Center compliance with institutional, facility, and operational SMA requirements. This includes applicable Federal, State, and local safety and health statutes and regulations and NASA SMA requirements.

A.9 Mission Assurance Process Map. The mission assurance process map is a high-level, graphical representation of governing SMA policy and requirements, processes, and key participant roles, responsibilities, and interactions. It also includes the reporting structure that constitutes a program's/project's SMA functional flow.

A.10 Mission Assurance Process Matrix. The mission assurance process matrix is constructed to identify program life cycle assurance agents and specific assurance activities, processes, responsibilities, accountability, depth of penetration, and independence. The matrix includes key assurance personnel in Engineering, Manufacturing, Program Management, Operations, and SMA.

A.11 Objective Evidence. Data verifying or supporting the existence or variety of a finding. Objective evidence may be obtained through observation, measurement, test, or other means and is not influenced by prejudice, emotion, or bias. Examples of objective evidence include, but are not limited to, procedures, records, work instructions, databases, reports, organizational charts, interviews, hardware, facilities test reports, configuration control documentation (i.e., drawings and specifications), mishap reports, corrective actions, and lessons learned.

A.12 Quality Audit, Assessment, and Review. An independent verification that each NASA Center, program, and project is in compliance with the applicable NASA SMA quality assurance requirements.

A.13 Requirement Flow Down and SMA Engineering Design Audits and Assessments. 1) An independent verification of the flow down of SMA requirements to the NASA Centers, programs, and projects and 2) An independent evaluation of the NASA SMA requirements implemented on programs and projects not included in the IFO Safety Audit and QAAR processes.

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